

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER 13173-00025-US U.S. APPLICATION NO. (if known) 37 CFR 1.5) 10/569022
INTERNATIONAL APPLICATION NO. PCT/EP2004/008623	INTERNATIONAL FILING DATE 31 July 2004	PRIORITY DATE CLAIMED 17 February 2004
TITLE OF INVENTION METHOD FOR PRODUCING KETOCAROTENOIDS IN GENETICALLY MODIFIED, NON-HUMAN ORGANISMS		
APPLICANT(S) FOR DO/EO/US Ralf Flachmann et al.		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2)) a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). Items 11 to 20 below concern document(s) or information included: 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary amendment. 14. <input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input checked="" type="checkbox"/> A power of attorney and/or change of address letter. 17. <input checked="" type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 – 1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).		

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. 10/569022 (37 CFR 1.51)	INTERNATIONAL APPLICATION NO. PCT/EP2004/008623	ATTORNEY'S DOCKET NUMBER 13173-00025-US
20. <input type="checkbox"/> Other items or information: Form PCT/IPEA/409, Statement To Support Filing And Submission In Accordance With 37 CFR §§1.821 Through 1.825, Nucleotide and/or Amino Acid Sequence Submission on CD (COPY 1, COPY 2, CRF COPY – 3 Discs Total), Postcard, Certificate of Express Mail		
The following fees have been submitted		
21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a))..... \$300	CALCULATIONS \$ 300.00	PTO USE ONLY
22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 All other situations \$200	\$ 200.00	
23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB..... \$400 All other situations..... \$500	\$ 400.00	
TOTAL OF 21, 22 and 23 =		\$ 900.00
<input checked="" type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.		
Total Sheets 134 - 100 =	Extra Sheets 34 /50 =	Number of each additional 50 or fraction thereof (round up to a whole number) 1
RATE x \$250.00		\$ 250.00
Surcharge of \$130 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).		
\$		
CLAIMS Total claims 12 - 20 =	NUMBER FILED 12 - 20 =	NUMBER EXTRA x
RATE 0.00		
Independent claims 2 - 3 =	2 - 3 =	x 0.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)		
+		
TOTAL OF ABOVE CALCULATIONS =		\$ 1,150.00
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/3.		
SUBTOTAL =		\$ 1,150.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).		
\$		
TOTAL NATIONAL FEE =		\$ 1,150.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property		
\$		
TOTAL FEES ENCLOSED =		\$ 1,150.00
Amount to be refunded:		\$
Amount to be charged		\$

IAF12 Received 17 FEB 2006

10/569022

PTO-1390 (Rev. 07-2005)

Approved for use through 03/31/2007. OMB 0651-0021

U. S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 03-2775 in the amount of \$ 1,150.00 to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 03-2775. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:


SIGNATURE

Roberte M. D. Makowski, Ph.D.
NAME

CUSTOMER NUMBER: 23416

55,421
REGISTRATION NUMBER

10/569022

IA'12 Rec'd PCT/FTO 17 FEB 2006

PTO/SB/17 (12-04v2)

Approved for use through 7/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<p><i>Effective on 12/08/2004.</i> <i>Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).</i></p> <h2 style="text-align: center;">FEE TRANSMITTAL</h2> <h3 style="text-align: center;">For FY 2005</h3>		<p>Complete if Known</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Application Number</td><td>Not Yet Assigned</td></tr> <tr><td>Filing Date</td><td>Concurrently Herewith</td></tr> <tr><td>First Named Inventor</td><td>Ralf Flachmann</td></tr> <tr><td>Examiner Name</td><td>Not Yet Assigned</td></tr> <tr><td>Art Unit</td><td>N/A</td></tr> <tr><td>Attorney Docket No.</td><td>13173-00025-US</td></tr> </table>		Application Number	Not Yet Assigned	Filing Date	Concurrently Herewith	First Named Inventor	Ralf Flachmann	Examiner Name	Not Yet Assigned	Art Unit	N/A	Attorney Docket No.	13173-00025-US
Application Number	Not Yet Assigned														
Filing Date	Concurrently Herewith														
First Named Inventor	Ralf Flachmann														
Examiner Name	Not Yet Assigned														
Art Unit	N/A														
Attorney Docket No.	13173-00025-US														
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27															
TOTAL AMOUNT OF PAYMENT (\$) 1,150.00															

METHOD OF PAYMENT (check all that apply)	
<input type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> None <input type="checkbox"/> Other (please identify): _____	
<input checked="" type="checkbox"/> Deposit Account Deposit Account Number: <u>03-2775</u> Deposit Account Name: <u>Connolly Bove Lodge & Hutz LLP</u>	
For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)	
<input checked="" type="checkbox"/> Charge fee(s) indicated below <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee	
<input checked="" type="checkbox"/> Charge any additional fee(s) or underpayment of fee(s) under 37 CFR 1.16 and 1.17 <input checked="" type="checkbox"/> Credit any overpayments	

FEE CALCULATION							
1. BASIC FILING, SEARCH, AND EXAMINATION FEES							
	FILING FEES		SEARCH FEES		EXAMINATION FEES		
		<u>Small Entity</u>		<u>Small Entity</u>		<u>Small Entity</u>	
<u>Application Type</u>	<u>Fee (\$)</u>	<u>Fee (\$)</u>	<u>Fee (\$)</u>	<u>Fee (\$)</u>	<u>Fee (\$)</u>	<u>Fee (\$)</u>	<u>Fees Paid (\$)</u>
Utility	300	150	500	250	200	100	900.00
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	
2. EXCESS CLAIM FEES							
						<u>Small Entity</u>	
						<u>Fee (\$)</u>	<u>Fee (\$)</u>
Each claim over 20 (including Reissues)						50	25
Each independent claim over 3 (including Reissues)						200	100
Multiple dependent claims						360	180
<u>Total Claims</u>		<u>Extra Claims</u>	<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>	<u>Multiple Dependent Claims</u>		
12		- 20 =	x	=	<u>Fee (\$)</u>		<u>Fee Paid (\$)</u>
<u>Indep. Claims</u>		<u>Extra Claims</u>	<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>			
2		- 3 =	x	=			
3. APPLICATION SIZE FEE							
If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).							
<u>Total Sheets</u>	<u>Extra Sheets</u>	<u>Number of each additional 50 or fraction thereof</u>			<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>	
134	- 100 = 34	/50	1	(round up to a whole number) x	250.00	=	250.00
4. OTHER FEE(S)							
						<u>Fees Paid (\$)</u>	
Non-English Specification, \$130 fee (no small entity discount)							
Other (e.g., late filing surcharge): 1631 Basic National Stage fee						300.00	
1633 National Stage Examination Fee - all other ...						200.00	
1642 National Stage Search Fee - search report ...						400.00	
1681 National Stage application size fee - for each ...						250.00	

SUBMITTED BY			
Signature	<i>Roberte M. D. Makowski</i>	Registration No. (Attorney/Agent)	55,421
Name (Print/Type)	Roberte M. D. Makowski, Ph.D.	Telephone	(302) 658-9141
		Date	February 17, 2006

Application No. (if known): Not Yet Assigned

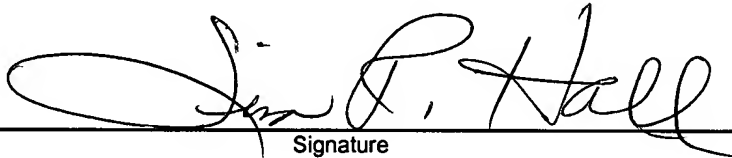
Attorney Docket No.: 13173-00025-US

Certificate of Express Mailing Under 37 CFR 1.10

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on FEBRUARY 17, 2006
Date



Signature

Tina R. Hall

Typed or printed name of person signing Certificate

Registration Number, if applicable

Telephone Number

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Transmittal Letter to the United States Designated-Elected Office (3 pages)
Fee Transmittal (1 page)
Application Data Sheet (5 pages)
Copy of the International application with search report (Form PCT/ISA/210) attached
Form PCT/IPEA/409 (7 pages)
English language translation of the International application (134 pages)
Statement To Support Filing And Submission In Accordance With 37 CFR §§1.821 Through 1.825 (2 pages)
Nucleotide and/or Amino Acid Sequence Submission on CD (COPY 1, COPY 2, CRF COPY - 3 Discs Total)
Executed Combined Declaration and Power of Attorney (5 pages)
Preliminary Amendment (8 pages)
Information Disclosure Statement (2 pages), SB08 (2 pages)
Copies of references (16)
Postcard, Certificate of Express Mailing (1 page)
Authorization to charge \$1,150.00 to deposit account 03-2775

Docket No.: 13173-00025-US
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Ralf Flachmann et al.

Conf. No.: Not yet assigned

Application No.: Not yet assigned

Group Art Unit: Not yet assigned

Filed: Concurrently herewith

Examiner: Not Yet Assigned

For: METHOD FOR PRODUCING
KETOCAROTENOIDS IN GENETICALLY
MODIFIED, NON-HUMAN ORGANISMS

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**STATEMENT TO SUPPORT FILING AND SUBMISSION
IN ACCORDANCE WITH 37 CFR §§1.821 THROUGH 1.825**

- ☒ **37 C.F.R. §1.821(f)** - I hereby state that the information recorded in computer readable form is identical to the written (on paper or compact disc) Sequence Listing submitted herewith.
- ☒ **37 C.F.R. §1.52(e)(4)** - I hereby state that the two compact discs are identical.
- ☐ **37 C.F.R. 1.821(g)** - I hereby state that the submission, filed in accordance with 37 C.F.R. 1.821(g), herein does not include new matter.
- ☐ **37 C.F.R. §1.821(h)** - I hereby state that the submission, filed in accordance with 37 C.F.R. §1.821(h), herein does not include new matter or go beyond the disclosure in the international application.
- ☐ **37 C.F.R. §1.825(a)** - I hereby state that the amendments, made in accordance with 37 C.F.R. §1.825(a), included in the substitute sheet(s) or compact disc(s) of the Sequence Listing are supported in the application, as filed, at _____. I hereby state that the substitute sheet(s) of the Sequence Listing does (do) not include new matter.
- ☐ **37 C.F.R. §1.825(b)** - I hereby state that the substitute copy of the computer readable form, submitted in accordance with 37 C.F.R. §1.825(b), is the same as the amended Sequence Listing.

☐ **37 C.F.R. §1.825(d)** - I hereby state that the substitute copy of the computer readable form, submitted in accordance with **37 C.F.R. §1.825(d)**, is identical to that originally filed.

Respectfully submitted,

By 

Roberte M. D. Makowski, Ph.D.

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